

# ARS □ CSREES □ ERS □ NASS

## *Bulletin*

***Title:*** Non-discrimination in ARS's Federally Assisted Programs

***Number:*** 99-151

***Date:*** 3/18/1999      ***Expiration:*** 3/18/2000

***Originating Office:*** Extramural Agreements Division, AFM/ARS

***Distribution:*** ARS Headquarters, Areas, and Locations

This bulletin is to advise employees of the procedures to implement Title VI of the Civil Rights Act of 1964 affecting grant and assistance type cooperative agreement awards. On 9/1/99 a correction made to second line under subheading "Numbering scheme - Federal Financial Assistance Awards".

## **Purpose and Scope**

The purpose of this Bulletin is to implement policies and procedures to facilitate ARS and recipient compliance with departmental regulations governing nondiscrimination in Federally assisted programs (effectuating Title VI of the Civil Rights Act of 1964) of the U.S. Department of Agriculture. These guidelines are applicable only to grants and assistance type cooperative agreements awarded by ARS to domestic recipients.

## **Background**

The Agricultural Research Service does not operate a formal competitive research grants award program. However, under the general authority of 7 U.S.C. 3318, ARS does award discretionary grants and assistance type cooperative agreements to supplement its intramural research programs. The USDA Office of General Counsel has ruled that ARS grants and assistance type cooperative agreements are instruments of Federal financial assistance and are therefore subject to the provisions of 7 CFR Part 15, Nondiscrimination in Federally-Assisted Programs of the Department of Agriculture -Effectuation of Title VI of the Civil Rights Act of 1964.

7 CFR Part 15, Subpart A provides that A No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity of the applicant or recipient receiving Federal financial assistance from the Department of Agriculture or any Agency thereof.@ The USDA Office of Advocacy and Enterprise (currently the Office of Civil Rights) conducted a review of ARS programs several years ago and found that ARS's Federally assisted programs were not in compliance with Title VI of the Civil Rights Act of 1964, and recommended corrective action. For the purposes of Title VI, it has been determined that each separate ARS grant and/or assistance type cooperative agreement award represents a Aprogram.@

The following guidelines are the result of a collaborative effort between the ARS Civil Rights Staff and the AFM Extramural Agreements Division. It is important to note that the responsibility for the development and implementation of civil rights policy rests with the ARS Civil Rights Staff. The policies and procedures contained herein have been developed in cooperation with AFM, EAD, since Title VI directly impacts pre-award and post-award grant functions.

In addition to the new requirements imposed by Title VI, these guidelines also implement new forms and requirements that provide additional assurances for certain types of research and require additional financial support data from the intended recipient organization to further assist program managers in evaluating grant proposals.

## **Policy**

The U.S. Department of Agriculture, Agricultural Research Service, prohibits discrimination in its Federally assisted programs on the basis of race, color, national origin, sex, religion, age, disability, political beliefs, and marital or familial status. Proposed recipients of Federal financial assistance must comply with all civil rights pre-award certification and assurance requirements before a grant or an assistance type cooperative agreement can be awarded.

## **Forms**

To effectuate Title VI compliance for ARS Federally assisted programs and to assist program managers in evaluating grant proposals, the following new forms are implemented:

1. Application for Funding (Form ARS-403)

Each grant and/or assistance type cooperative agreement award must be supported by an Application for Funding (form ARS-403) to facilitate accurate identification of the recipient's organization type, etc.

2. Pending Federal Financial Support (Form ARS-408)

All proposals must contain form ARS-408 listing any other or pending research support to which key project personnel have committed or are expected to commit portions of their time, whether or not salary support for the person(s) involved is included in the budget.

3. Research Assurance Statement(s) (Form ARS-411)

A number of situations encountered in the conduct of research require special assurances, supporting documentation, etc., before ARS funding can be approved for the research project. The following assurances are required to meet agency compliance with applicable Federal statutes and/or regulations:

- Recombinant DNA or RNA Research
- Animal Care
- Protection of Human Subjects

4. Assuring Civil Rights Compliance (Form ARS-405)

Each recipient of Federal financial assistance must provide assurance that the proposed project will be conducted in compliance with USDA civil rights regulations applicable to Federally assisted programs.

5. Civil Rights Assurance Questionnaire (Form ARS-406)

Each recipient of Federal financial assistance must complete this form to assist agency officials in determining the recipient organization's ability to comply with USDA nondiscrimination requirements for Federally assisted programs. This form is used to obtain a history of the recipient's compliance with requirements of Title VI of the Civil Rights Act of 1964, and to capture race, sex, and national origin (RSNO) data of the recipient's key personnel involved in performance of the proposed activity.

6. Conference Participant Report (RSNO Close-Out Data)

All recipients of Federal financial assistance in support of research conferences and symposia must submit a report identifying conference participants by RSNO. This is a required close-out report and must be submitted by the recipient prior to execution of final payment request. The requirement for submission of the report is provided for in the Special Provisions, Form ARS-453. There is no form associated with this requirement; however, form ARS-453 does provide a suggested format for recipients use in submission of the data.

### **Numbering Scheme -Federal Financial Assistance Awards**

The type code for all Federal financial assistance awards (grants and assistance type cooperative agreements) is 59(\***corrected on 9/1/99**). This is a change for assistance type cooperative agreements which had previously been assigned type code 58. The 58 prefix is reserved for nonassistance cooperative agreements and Memoranda of Understanding.

### **Research Agreements Tracking System (RATS) Civil Rights Module -Data Entry**

A major component of Title VI is the requirement to collect and maintain the recipient's RSNO data. The RATS data base has been enhanced to facilitate collection of recipient's data reported on forms ARS-405 and ARS-406, and conference participant RSNO data for close-out. Data

entry guidelines for the RATS civil rights module are enclosed.

## **Procedures**

To assist interested parties in completing pre-award requirements, EAD has developed a package of materials called **AGuidelines for Proposal Preparation and Submission.**@ This package contains all required forms and provides instructions for intended recipients in completing pre-award requirements. However, the use of this package in its entirety is not mandatory. It is incumbent upon the servicing ADO to determine if the entire package or only the new forms described herein should be submitted to a requestor.

The package will have the greatest impact in situations where the intended recipient needs assistance in developing and formatting research grant proposals. However, if the research proposal has already been received by program management and is accepted by the ADO, it is only necessary to include the new forms in the award package submitted to the intended recipient for signature. The procedures for executing grants and assistance type cooperative agreement awards are as follows:

### **Responsible Person(s): Authorized Departmental Officers**

- Ensure that each federal financial assistance award (grants and assistance type cooperative agreements) is supported by properly completed new certification and assurance forms described above, including the pending financial support form.
- Provide assistance to each intended recipient, as requested, in completing the new certification and assurances.
- Promptly enter required civil rights data in the RATS Civil Rights       Module upon execution of all Federal financial assistance awards.
- Notify the ARS Civil Rights Staff of any instances of noncompliance in recipient completion of the civil rights assurance certification and questionnaire forms.
- Assist the ARS Civil Rights Staff in compiling data needed to conduct compliance reviews.

- Ensure that all recipients of Federal financial assistance in support of research conferences and symposia submit a final conference participation report as required by the Special Provisions, prior to authorization and execution of the final payment request.

Copies of the “Guidelines for Proposal Preparation and Submission” are available from EAD upon request.

L. David Young  
Director  
Extramural Agreements Division

Exhibits

- 1 Form ARS 403, Application for Funding
- 2 Form ARS 405, Civil Rights Assurance Certification
- 3 Form ARS 406, Civil Rights Questionnaire
- 4 Form ARS 408, Current and Pending Federal Financial Assistance Support
- 5 Form ARS 411, Research Assurance Statement
- 6 Research Agreements Tracking System, Civil Rights Module - Data Entry Instructions

## Exhibit 1

UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL RESEARCH SERVICEOMB Approved 0515-0025  
Expires 10/03

## APPLICATION FOR FUNDING

FOR ARS USE ONLY			
ARS AGREEMENT NO.	PROPOSAL CODE		
1. LEGAL NAME OF ORGANIZATION TO WHICH AWARD SHOULD BE MADE		3. NAME OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	4. a. PHONE NUMBER (w/ Area Code)  b. FAX NUMBER
2. ADDRESS (Give complete mailing address and Zip Code including County)		5. ADDRESS OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE (If different from Item 2)	
6. TITLE OF PROPOSED PROJECT			
7. PROGRAM TO WHICH YOU ARE APPLYING (Refer to Federal Register Announcement where applicable)		8. PROGRAM AREA AND NUMBER (Refer to Federal Register Announcement where applicable)	
9. IRS NO.	10. CONGRESSIONAL DISTRICT NO.	11. PERIOD OF PROPOSED PROJECT (Starts From: Through:	12. DURATION REQUESTED
13. TYPE OF REQUEST (Check only one)  <input type="checkbox"/> New <input type="checkbox"/> Renewal <input type="checkbox"/> Supplement <input type="checkbox"/> Reimbursement <input type="checkbox"/> Continuing Increment <input type="checkbox"/> PI Transfer    (PRIOR USDA Award No. _____)		14. FUNDS REQUESTED (From Form ARS-455)	
15. PRINCIPAL INVESTIGATOR(S)/PROJECT DIRECTOR(S)  a. PI/PD #1 Name (First, Middle, Last) SS #* (Correspondent PI)  b. PI/PD #2 Name (First, Middle, Last) SS #*  c. PI/PD #3 Name (First, Middle, Last) SS #*		16. a. PI/PD #1 PHONE NUMBER (w/ Area Code)  b. FAX NUMBER  17. PI/PD #1 BUSINESS ADDRESS (including Department/Zip Code)	
*Submission of the Social Security Number is voluntary and will not affect the organization's eligibility for an award. However, it is an integral part of the ARS information system and will assist in the processing of the proposal.			
18. TYPE OF PERFORMING ORGANIZATION (Check one only) 01 <input type="checkbox"/> USDA/ARS Laboratory 02 <input type="checkbox"/> Other Federal Research Agency 03 <input type="checkbox"/> State Agricultural Experiment Station (SAES) 04 <input type="checkbox"/> Land-Grant University of 1862 05 <input type="checkbox"/> Land-Grant University of 1890 or Tusagee Univ. 06 <input type="checkbox"/> Private University or College 07 <input type="checkbox"/> Public University or College (Non Land-Grant) 08 <input type="checkbox"/> Private Profit-making 09 <input type="checkbox"/> Private Non-profit 10 <input type="checkbox"/> State or Local Government 11 <input type="checkbox"/> Veterinary School or College 12 <input type="checkbox"/> Cooperative Extension Service 13 <input type="checkbox"/> Small Business 14 <input type="checkbox"/> Minority Owned Business 15 <input type="checkbox"/> Female Owned Business 16 <input type="checkbox"/> Individual 17 <input type="checkbox"/> Other (specify)		19. WILL THE WORK IN THIS PROJECT INVOLVE RECOMBINANT DNA? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, complete Form ARS-411)  20. WILL THE WORK IN THIS PROJECT INVOLVE LIVING VERTEBRATE ANIMALS? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, complete Form ARS-411)  21. WILL THE WORK IN THIS PROJECT INVOLVE HUMAN SUBJECTS? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, complete Form ARS-411)  22. WILL THIS PROJECT BE SENT OR HAS IT BEEN SENT TO OTHER FUNDING AGENCIES INCLUDING OTHER USDA AGENCIES? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, list Agency acronym(s) & program(s))	
SIGNATURE OF PRINCIPAL INVESTIGATOR(S)/PROJECT DIRECTOR(S) (All PI/PD's listed in block 13 must sign if they are to be included in award doc)		DATE	
SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE (Same as Item 3)		TITLE	DATE

GMS Approved CS-16-0022  
Expires 10/31

United States Department of Agriculture  
Agricultural Research Service  
**ASSURANCE OF COMPLIANCE**  
with the  
**DEPARTMENT OF AGRICULTURE REGULATIONS  
ASSURING CIVIL RIGHTS COMPLIANCE**

\_\_\_\_\_  
Name of Applicant (type or print) (hereinafter called the "Applicant")

(HEREBY AGREES THAT) It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d, et. seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Agriculture (7 CFR Part 15, Subparts A & C); Title IX of the Education Amendments Act of 1972 (20 USC 1681, 1682, 1683, and 1685), and all requirements imposed by or pursuant to the Regulation of the Department of Agriculture (7 CFR Part 15a); Section 504 of the Rehabilitation Act of 1973, as amended (29 USC 794), and all requirements imposed by or pursuant to the Regulations of the Department of Agriculture (7 CFR Parts 15b and 15c); and Age Discrimination Act of 1975 (42 USC 6101, et. seq.), and all requirements imposed by or pursuant to the Regulation of the Department of Agriculture (7 CFR Part 15c)

In accordance with these laws and regulations, HEREBY AGREES THAT it will offer its programs to all eligible persons without regard to race, color, national origin, sex, disability, and age, and that no person be excluded from participation in, be denied the benefits of, or otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Department of Agriculture, Agricultural Research Service, and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant by the Department, this Assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this Assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, THIS ASSURANCE shall obligate the Applicant for the period during which the Federal financial assistance is extended to it by the Department.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, cooperative agreements, nonexpendable property, or other Federal financial assistance extended after the date hereof to the Applicant by the Department of Agriculture, Agricultural Research Service. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. THIS ASSURANCE is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signature(s) appear below are authorized to sign this Assurance on behalf of the Applicant.

\_\_\_\_\_  
Typed Name and Title of Authorized Official

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Applicant's Mailing Address



OMB Approved CS-8-0025  
Expires 10/03

United States Department of Agriculture  
Agricultural Research Service

Federal Financial Assistance  
Civil Rights Assurance Questionnaire

**SECTION I - TO BE COMPLETED BY ALL APPLICANTS**

1. Have any other USDA agencies or other Federal agencies conducted civil rights compliance reviews of your organization during the past two years?  
Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, provide date(s) of review(s) and name of agency.

---

---

---

---

2. Have you ever been denied financial support or had such support terminated for civil rights non-compliance by any other USDA agency or other Federal agency?  
Yes \_\_\_\_\_ No \_\_\_\_\_ If Yes, provide date of denial or termination, name of agency involved, and reason(s).

---

---

---

---

3. Has your organization been the subject of a civil rights complaint within the last three years?  
Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, give details of complaint(s).

---

---

---

---

4. Is your research facility or conference site accessible to persons with disabilities?  
Yes \_\_\_\_\_ No \_\_\_\_\_ If no, please explain.

---

---

---

---

**SECTION II - TO BE COMPLETED BY APPLICANTS FOR RESEARCH GRANTS**

5. Provide the following information on the number of employees involved in conducting this research:

KEY PERSONNEL	WHITE		BLACK		HISPANIC		ASIAN/ PACIFIC ISLANDER		AMERICAN INDIAN/ ALASKA NATIVE	
	M	F	M	F	M	F	M	F	M	F
Research Associates (non-disabled)										
(Postdoctorate) (disabled)										
Other Professionals (non-disabled)										
(disabled)										
Graduate Students (non-disabled)										
(disabled)										
Undergraduate Students (non-disabled)										
(disabled)										
Clerical (non-disabled)										
(disabled)										
Other (non-disabled)										
(disabled)										

M = Male  
F = Female

6. Have any of these individuals received civil rights training during the last three years?  
Yes      No      If yes, please describe the training.

---



---



---

**SECTION III - TO BE COMPLETED BY COOPERATORS SPONSORING A  
CONFERENCE OR SYMPOSIUM**

7. List names of minority, female, and disability organizations contacted or are planning to contact about this conference or symposium.

---

---

---

---

---

---

---

---

8. Are there any planning or advisory bodies involved in the planning or organizing of the conference or symposium? Yes \_\_\_\_\_ No \_\_\_\_\_. If yes, provide the following information on the committee membership:

RACE/ETHNICITY	COMMITTEE MEMBERSHIP		PERSONS WITH DISABILITIES	
	# of MALES	# of FEMALES	# of MALES	# of FEMALES
White				
Black				
Hispanic				
Asian/Pacific Islander				
American Indian/Alaskan Native				

UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL RESEARCH SERVICE

DWR Appraisal: 06.18.2020  
 Pages: 10/30

#### CURRENT AND PENDING FEDERAL FINANCIAL ASSISTANCE SUPPORT

**Interpretation:**

1. Record information for active and pending projects for Federal financial assistance. (Concurrent submission of a proposal to other organizations will not prejudice its review by ARS)
2. All current research to which principal investigator(s) and other senior personnel have committed a portion of their time must be listed, whether salary for the person involved is included in the budgets of various projects.
3. Provide analogous information for all proposed research which is being considered by, or which will be submitted in the near future to, other sponsors including other USDA programs.

Appendix A: Current and Pending Grants					
NAME (List PI #1 first)	SUPPORTING AGENCY AND AGENCY NUMBER	TOTAL \$ AMOUNT	EFFECTIVE AND EXPIRATION DATES	% OF TIME COMMITTED	TITLE OF PROJECT
	Current:				
	Pending:				

UNITED STATES DEPARTMENT OF AGRICULTURE  
AGRICULTURAL RESEARCH SERVICE  
**RESEARCH ASSURANCE STATEMENT(S)**

OMB Approved 0518-0025  
Exp 02/1990

**STATEMENT OF POLICY** - Safeguarding the rights and welfare of subjects of risk and the proper isolation security of research agents in activities supported by Agricultural Research Service is the responsibility of the institution to which support is provided. In order to provide for the accurate disclosure of this

responsibility, USDA policy requires a formal assurance that appropriate committees in each institution will carry out both initial review of proposals and continuing review of suspended projects. The Department also requires certification of such reviews.

**NOTE:** Check appropriate statements, supplying additional information when necessary.

<b>1. INSTITUTION</b>  	<b>2. TYPE</b> <input type="checkbox"/> New <input type="checkbox"/> Extension <input type="checkbox"/> Revision <b>3. ARS #401 OR NUMBER OF AWARD NUMBER (if known)</b>  
<b>4. TITLE OF PROJECT</b>  	<b>5. PRINCIPAL INVESTIGATOR(S)</b>  

**A. RECOMBINANT DNA OR RNA RESEARCH**

- ☐ Project does not involve recombinant DNA or RNA.  
☐ Project involves recombinant DNA or RNA. (Check the applicable statement).  
☐ This project has been determined by the local IDC to be exempt from the NIH Guidelines.  
☐ This project is under review by the local IDC and a revised Form ARS-411 will be submitted when the review is completed.  
☐ This project has been reviewed by an IDC and was approved on \_\_\_\_\_ (Date).

This institution agrees to assume primary responsibility for complying with both the intent and procedures of the National Institutes of Health's (NIH) "Guidelines for Research Involving Recombinant DNA Molecules" as revised (see subsection 205(b)(3), Subpart U of the "Uniform Federal Acquisition Regulations" (41 CFR Part 301) and other applicable Federal/State guidelines and regulations.

This responsibility includes:

1. Ensuring that a standing Institutional Biosafety Committee (IBC) reviews proposed projects.
2. Reasoning with the IBC all experiments involving recombinant DNA and RNA Molecules conducted with the funds provided under this project/grant and complying with the requirements specified in Part II of the NIH Guidelines or any other pertinent guidelines and regulations. IBCs are required to keep records of this research in a form that is available to the U.S. Department of Agriculture (USDA) upon request.

In addition, principal investigators must report the following to the USDA and to their IDCs:

1. New technical information relating to risks and safety procedures.
2. Serious accidents or releases involving recombinant DNA or RNA.
3. Serious illness of a laboratory worker which may be project related.
4. Other safety problems.

**B. ANIMAL CARE**

- ☐ Project does not involve use of vertebrate animals.  
☐ Project involves use of vertebrate animals. (Check the applicable statement).  
☐ a) This project is in compliance with the Animal Welfare Act of 1966 and 9 CFR Subchapter A (Laboratory Animals), as amended.  
☐ b) This project is under review by the Institutional Care and Use Committee and a revised Form ARS-411 will be submitted when the review is completed.  
☐ c) This project has been approved by the Institutional Animal Care and Use Committee on \_\_\_\_\_ (Date).

**C. PROTECTION OF HUMAN SUBJECTS**

- ☐ Project does not involve use of human subjects.  
☐ Project involves use of human subjects. (Check the applicable statement).  
☐ a) The project includes activities involving human subjects but cannot be considered at risk. (If this statement is the person signing this form must also initial in the space at right.) \_\_\_\_\_ (Initial)  
☐ b) The project is under review by an institutional committee as provided by our assurance and a revised Form ARS-411 will be submitted when the review is completed.  
☐ c) This project includes activities involving human subjects. Our institutional committee reviewed and approved it on \_\_\_\_\_ in accordance with our assurance approved by S&E and/or DHHS. The project will be subject to continuing review as provided for in that assurance.

SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	TITLE	DATE

***RESEARCH AGREEMENTS TRACKING SYSTEM  
(RATS)***

***CIVIL RIGHTS MODULE (TITLE VI)  
DATA ENTRY INSTRUCTIONS***

*These instructions have been developed with the understanding that the user has working knowledge of RMIS/RATS operational requirements.*

*The instructions are being provided in two parts:*

*PART 1: A list of step-by-step user instructions .*

*PART 2: User instructions with corresponding RATS/RMIS screen prints. Included in these instructions are navigational hints and guidance to facilitate data entry.*

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part 1 (step-by-step user instructions)**

Log on to RATS using your user ID and password

Select F7 - ARS RATS

Select F7 - Title VI Menu

To input data provided by the Grantee from Form ARS- 403, Application for Funding:

Step 1: Select F1 from Title VI Menu

Step 2: Select F6 - Add

Step 3: Input assigned ARS Agreement No. and data from questions 1 thru 6 and 11

Step 4: Select F1

Step 5: Input data from questions 13 thru 22

Step 6: Select F1 to add data

Step 7: Choose applicable agreement number from list and select F12 to release data to  
active file

Step 8: Select F16 to return to Title VI Menu

To input data provided by the Grantee from Form ARS-406, Civil Rights Assurance Questionnaire:

Step 1: Select F2 from Title VI Menu

Step 2: Select F6 - Add

Step 3: Input agreement number from corresponding Form ARS-403, Application for Funding

Step 4: Input data items 1 thru 4 from completed ARS-406, Civil Rights Assurance Questionnaire

Step 5: Select F1 to proceed to question number 5

Step 6: Input data provided by Recipient for question numbers 5 and 6

Step 7: Select F1 to proceed to question number 8

Step 8: Input data provided by Recipient for question number 8

Step 9: Select F1

Step 10: Choose applicable agreement number from list and select F12 to release data  
to active file

Step 11: Select F16 to return to Title VI Menu

To input Race, Sex and National Origin (RSNO) data from the final project report submitted by the Recipient:

Step 1: Select F3 from Title VI Menu

Step 2: Select applicable agreement number from list provided on screen

Step 3: Select F9 - Modify

Step 4: Modify and add information provided by Recipient and select F1 to Modify

Step 5: Choose applicable agreement number from list and select F12 to release data  
to active file

Step 6: Select F16 to return to Title VI Menu

**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

**WANG OFFICE**

1 Mailbox  
2 Send Memo  
3 Distribution  
4 Confirmation  
5 User Administration  
6 Office Training

**MANAGEMENT UNIT**

7 ARS RATS  
9 NPS Review  
13 Reference Tables  
14 Work IA System  
15 TINS

**AGENCY RETRIEVALS**

19 Active 416-425-550-115  
20 Briefing Packet  
21 Reports Menu  
22 Active IA System  
23 Personnel File  
24 Post - Doc Programs  
25 Inventions/Patents  
26 Mission Statements

**OTHER FUNCTIONS**

16 Logoff  
17 Display Print  
18 Macsoft File Trans.  
31 VsCom File Transfer

**MISC. FILES**

28 Mode Code  
29 Strategic Plan

**User Instructions**

- Select F7 to proceed to Title VI Module



**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

Main Menu (Admin Module)

---

Agricultural Research Service  
Research Management Information System

Records In Your Mode Code

---

- |                                |                                  |
|--------------------------------|----------------------------------|
| 1) Work Cooperative Agreements | 9) Active Cooperative Agreements |
| 2) Work MOU Agreements         | 10) Active MOU Agreements        |
| 3) Work RSA Agreements         | 11) Active RSA Agreements        |
| 6) Work Status Menu            | 15) Audit Amendment Menu         |
| 7) Title VI Menu               |                                  |
- 

- |                 |                     |                  |
|-----------------|---------------------|------------------|
| 13) Help Screen | 17) Display Reports | 30) Print Remote |
| 16) Return      | 18) Macsoft         | 31) VsCom        |

**User Instructions**

To input Title VI data:

- Select F7, Title VI Menu

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

Main Menu (Admin Module)

---

Agricultural Research Service  
Title VI Menu

---

Work Records

---

- 1) Application for Funding
- 2) Civil Rights Assurance  
Questionnaire
- 3) Final Report Participant  
RSNO Data
- 7) Work Status Menu

Active Records

---

- 9) Application for Funding
- 10) Civil Rights Assurance  
Questionnaire
- 11) Final Report Participant  
RSNO Data

- 
- 16) Return
  - 17) Display Reports
  - 18) Macsoft
  - 32) FastExit

**User Instructions**

To input data from Form ARS-403, Application for Funding:

- Select F1, Application for Funding

NOTE: As with all entries within the RATS data base, all new data must be entered from the “work” side. All modifications to previously entered data must be searched for on the “active” side with an amendment to the record created and transferred to the “work” side.

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

List Applications for Funding

---

<u>Agreement Number</u>	<u>Authorized Representative</u>	<u>Legal Name of Orgn</u>
-------------------------	--------------------------------------	---------------------------

---

1) Display			10) Application Screen 2	15) Output
3) Mark	19) Clear	6) Add	12) Release App for Funding	16) Return
		7) Search		17) Disp Rpts
4) Prev	20) First	8) Delete	14) Document Print	18) Macsoft
5) Next	21) Last	9) Modify		32) FastExit

**User Instructions**

To input data from completed ARS-403, Application for Funding:

- Select F6 - Add

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

Add Application for Funding Screen 1

---

Agreement No.: \_\_ - \_\_\_\_ - \_\_-\_\_\_\_

ModeCode: 00 00 00 00

1) Legal Name of Organization: \_\_\_\_\_

2) Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3) Authorized Organizational Representative: \_\_\_\_\_

4) Phone No: \_\_\_\_\_ Fax No. \_\_\_\_\_

5) Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6) Proposed Project Title: \_\_\_\_\_  
\_\_\_\_\_

11) Start Date: \_\_\_\_\_ Termination Date: \_\_\_\_\_ 12) Duration: \_\_\_\_

---

1) Add & GoTo Screen 2

16) Return

**User Instructions**

To input data from completed ARS-403, Application for Funding:

- Input assigned Agreement Number
- Follow completed Form ARS-403, Application for Funding, to input data for fields 1 thru 6 and 11.

When complete, select F1 - Add & GoTo Screen 2

NOTE: Input complete organizational name (no abbreviations please)

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

ADD Application for Funding Screen 2

---

13) Type of Request: 0 (1=New, 2=Renewal, 3=Supplement, 4=Resubmission,  
5=Continuing Increment, 6=PI Transfer)

Prior Award No: 000000000000 14) Funds Requested: 0\*\*\*\*\*

15) Principal Investigator: \*\*\*\*\*

16) Phone: \*\*\*\*\* FAX NO: \*\*\*\*\*

17) PI Address: \*\*\*\*\*

\*\*\*\*\*

\*\*\*\*\*

18) Type Perf

Organization 00

19) Will the work in this project involve Recombinant DNA? \* (Y N)

20) Living Vertebrate Animals? \* (Y N)

21) Human Subjects? \* (Y N)

22) Other Agencies? \* (Y N)

---

1) Add & Return

10) Select Type Perf Organization

**User Instructions**

To continue data entry:

- Follow completed Form ARS-403, Application for Funding, to input data for  
fields 13 thru 22.

- Upon completion select F1.

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

List Applications for Funding

---

<u>Agreement Number</u>	<u>Authorized Representative</u>	<u>Legal Name of Orgn</u>
-------------------------	--------------------------------------	---------------------------

---

1) Display			10) Application Screen 2	15) Output
3) Mark	19) Clear	6) Add	12) Release App for Funding	16) Return
		7) Search		17) Disp Rpts
4) Prev	20) First	8) Delete	14) Document Print	18) Macsoft
5) Next	21) Last	9) Modify		32) FastExit

**User Instructions**

- Select F12 in order to release Application for Funding data to the active file.
- Select F16 to return to Title VI Module

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

Main Menu (Admin Module)

---

Agricultural Research Service  
Title VI Menu

---

Work Records

---

Active Records

---

1) Application for Funding

9) Application for Funding

2) Civil Rights Assurance  
Questionnaire

10) Civil Rights Assurance  
Questionnaire

3) Final Report Participant  
RSNO Data

11) Final Report Participant  
RSNO Data

7) Work Status Menu

---

16) Return  
17) Display Reports  
18) Macsoft  
32) FastExit

**User Instructions**

To input data from Form ARS-406, Civil Rights Assurance Questionnaire:

- Select F2, Civil Rights Assurance Questionnaire

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

List Civil Rights Assurance Questionnaire

---

<u>Agreement Number</u>	<u>Authorized Representative</u>	<u>Legal Name of Orgn</u>
-------------------------	--------------------------------------	---------------------------

---

1) Display			10) Application Screen 2	15) Output
3) Mark	19) Clear	6) Add	12) Release Questionnaire	16) Return
		7) Search		17) Disp Rpts
4) Prev	20) First	8) Delete	14) Document Print	18) Macsoft
5) Next	21) Last	9) Modify		32) FastExit

**User Instructions**

To input data from completed Form ARS-406, Civil Rights Assurance Questionnaire:

- Select F6 - Add



**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

Add Civil Rights Assurance Questionnaire

---

Agreement No: \_\_ - \_\_\_\_ - \_ - \_\_\_\_

ModeCode: 00 00 00 00

- 1) Have any other USDA agencies conducted civil rights compliance reviews of your organization during the past two years? (Y/N)
- 2) Have you ever been denied financial support or had such support terminated for civil rights non-compliance by any other USDA agency or other Federal agency?  
Support Denied: (Y/N) Reason:  
Support Terminated: (Y/N) Reason:
- 3) Has your organization been the subject of a civil rights complaint within the last three years? (Y/N)
- 4) Is your Research Facility or Conference Site accessible to people with disabilities? (Y/N)

Record Added by: on

Last Modified by: on

---

**User Instructions**

To input data from Form ARS-406, Civil Rights Assurance data:

- Input agreement number from corresponding Form ARS-403, Application for Funding
- Input data items 1 thru 4 from completed ARS-406, Civil Rights Assurance Questionnaire
- Select F1 to proceed to question #5

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

ADD Civil Rights Assurance Questionnaire

---

- 5) Provide the following information on the number of employees involved in conducting this research:

White		Black		Hispanic		Asian/Pacific Islander		American Indian	
M	F	M	F	M	F	M	F	M	F

---

Res Assoc: non-dis

(PostDoc) disabled

Oth Prof. non-dis  
disabled

Grad Stu. non-dis  
disabled

UnderGrad non-dis  
disabled

Clerical non-dis  
disabled

Other non-dis  
disabled

- 6) Have these individuals received civil rights training in the last 3 years? (Y/N)

- 7) List names of minority, female and disability organizations contacted .....

(Data not to be added into RMIS RATS for question #7)

---

- 1) Add & GoTo Advisory Bodies

**User Instructions**

To continue input of data from Form ARS-406:

- Follow completed Form ARS-406, Civil Rights Assurance Questionnaire, to input data provided by Recipient for question number 5 and 6.

- Select F1 to proceed to question number 8.

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

ADD Civil Rights Assurance Questionnaire

---

8) Are there any Planning or Advisory boards involved in the planning? \* (Y N)

If yes, provide the following information on the committee membership:

Race/Ethnicity	Committee Membership		People with Disabilities	
	# of Males	# of Females	# of Males	# of Females

---

White

Black

Hispanic

Asian/Pacific Islander

American Indian/Alaskan  
Native

---

1) Add & Return

**User Instructions**

**To input data:**

- Follow completed Form ARS-406, Civil Rights Assurance Questionnaire, to input data provided by Recipient for question number 8.
- Select F1.

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

List Civil Rights Assurance Questionnaire

---

<u>Agreement Number</u>	<u>Authorized Representative</u>	<u>Legal Name of Orgn</u>
-------------------------	--------------------------------------	---------------------------

---

1) Display			10) Application Screen 2	15) Output
3) Mark	19) Clear	6) Add	12) Release Questionnaire	16) Return
		7) Search		17) Disp Rpts
4) Prev	20) First	8) Delete	14) Document Print	18) Macsoft
5) Next	21) Last	9) Modify		32) FastExit

**User Instructions**

- Select F12 to release data to active file
  
- Select F16 to return to Title VI Module, F32 to return to Main Menu

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

Main Menu (Admin Module)

---

Agricultural Research Service  
Title VI Menu

---

Work Records

---

- 1) Application for Funding
- 2) Civil Rights Assurance  
Questionnaire
- 3) Final Report Participant  
RSNO Data
- 7) Work Status Menu

Active Records

---

- 9) Application for Funding
- 10) Civil Rights Assurance  
Questionnaire
- 11) Final Report Participant  
RSNO Data

- 
- 16) Return
  - 17) Display Reports
  - 18) Macsoft
  - 32) FastExit

**User Instructions**

To input RSNO (Race, Sex, or National Origin) data from the final project report submitted by the Recipient

- Select F3, Final Report Participant RSNO Data

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

List Final Report Participant RSNO Data

---

Agreement  
Number

---

---

1) Display			
2) Mark	18) Clear	6) Add	12) Release Final Report RSNO
		7) Search	14) Document Print
4) Prev	20) First	8) Delete	15) Output
5) Next	21) Last	9) Modify	16) Return

**User Instructions**

To input data from RSNO data provided by Recipient:

- Select applicable agreement number from list (List will be generated from using previously entered agreement numbers from Forms ARS- 403 and ARS-406)
- Select F9 - Modify

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

Modify Final Report Participant RSNO Data

---

Agreement Number: \_\_\_\_ - \_\_\_\_ - \_\_\_\_ - \_\_\_\_

Participant RSNO Data

	Non-Disabled	Disabled
	Male Female	Male Female
White		
Black		
Hispanic		
Asian/Pacific Islander		
American Indian/Alaskan		
Native		

---

1) Modify

16)  
Return

**User Instructions**

- Select F1 - Modify, and add information provided by Recipient
- Select F16 - Return, to proceed to next screen

**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**



**Research Agreements Tracking System (RATS)**  
**Civil Rights Module (Title VI)**  
**Data Entry Instructions**  
**Part II (screen prints and instructions)**

List Final Report Participant RSNO Data

---

Agreement  
Number

---

---

1) Display			
2) Mark	18) Clear	6) Add	12) Release Final Report RSNO
		7) Search	14) Document Print
4) Prev	20) First	8) Delete	15) Output
5) Next	21) Last	9) Modify	16) Return

**User Instructions**

- Select F12 to release final report RSNO data to the active file

- Select F16 twice to return to main menu